

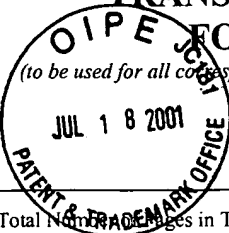
Please type a plus sign (+) inside this box → [+]

PTO/SB/21 (08-00)

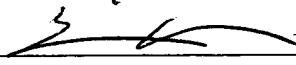
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | | |
|--|--|-------------------------------|---------------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing)  | | Application Number | 09/826,416 |
| | | Filing Date | April 5, 2001 |
| | | First Named Inventor | Tatsuya ARAO et al. |
| | | Group Art Unit | Unassigned |
| | | Examiner Name | Unassigned |
| Total Number of Pages in This Submission | | Attorney Docket Number | 0756-2293 |

| ENCLOSURES (check all that apply) | | |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group |
| Remarks | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | <u>Eric J. Robinson, Reg. No. 38,285</u> Nixon Peabody LLP 8180 Greensboro Drive Suite 800 McLean, VA 22012 |
| Signature |  |
| Date | 7-17-01 |

| CERTIFICATE OF MAILING | | |
|--|--------------|------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: | | |
| Type or printed name | Ava M. Dixon | |
| Signature | | Date |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of)
Tatsuya ARAO et al.)
Serial No. 09/826,416)
Filed: April 5, 2001)
For: SEMICONDUCTOR DEVICE AND)
METHOD OF MANUFACTURING)
THE SAME)



Attention: Applications Branch

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with
The United States Postal Service with sufficient postage as First
Class Mail in an envelope addressed to: Commissioner for Patents,
Washington, D.C. 20231, on _____


RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION - FILING DATE GRANTED

Honorable Commissioner for Patents
Washington, D.C. 20231
Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted, under 37 CFR 1.53(b) dated May 18, 2001, submitted herewith is an executed Declaration and Power of Attorney, an English translation of the application and drawings with Declaration and a copy of Notice to File Missing Parts of Application - Filing Date Granted along with the fees under 37 CFR 1.16. (Statutory Basic Filing Fee - \$710, Surcharge - \$130, Translation Fee - \$130, and Additional Claims Fee - \$402).

The above fees are covered by the attached check in the amount of \$1,372.00. Should there be any additional fees required for proper filing of the attached documents, please charge Deposit Account No. 19-2380. Prompt issuance of a filing receipt is respectfully requested.

Respectfully submitted,


Eric J. Robinson
Reg. No. 38,285

NIXON PEABODY LLP
8180 Greensboro Drive
McLean, Virginia 22102
(703) 790-9110



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/826,416 | 04/05/2001 | Tatsuya Arao | 740756-2293 |

22204
NIXON PEABODY, LLP
8180 GREENSBORO DRIVE
SUITE 800
MCLEAN, VA 22102

07/20/2001 BNGUYEN1 00000073 09826416

01 FC:101
02 FC:103
03 FC:102
04 FC:105
05 FC:139

710.00 OP
162.00 OP
240.00 OP
130.00 OP
130.00 OP

CONFIRMATION NO. 5035

FORMALITIES LETTER



OC00000006094039

Date Mailed: 05/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

09826416 071801

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09826416-071801
T08T40" 9T492860

FEE TRANSMITTAL

FOR FY 2001

JUL 18 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF TRANSMITTAL

(\$ 1,412.00)

Complete if Known

Application Number 09/826,416
 Filing Date April 5, 2001
 First Named Inventor Tatsuya ARAO et al.
 Examiner Name Unassigned
 Group Art Unit Unassigned
 Attorney Docket No. 0756-2293

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

19-2380

Deposit Account Name

Nixon Peabody LLP

- ☒ Charge Any Additional Fee Required
 Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
 See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | 710.00 |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1) (\$ 710.00)

2. EXTRA CLAIM FEES

Total Claims 29 -20** = 9 X 18 = 162

Independent Claims 6 -3** = 3 X 80 = 240

Multiple Dependent 0 = 0

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 | |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid | |
| 109 | 80 | 209 | 40 | ** Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2) (\$ 402.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | 130.00 |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English transaction | 130.00 |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR § 1.29(b)) | |
| 179 | 710 | 249 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 300.00)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Eric J. Robinson

Registration No.
(Attorney/Agent)

38,285

Telephone

(703) 790-9770

Signature

Date

Docket No. 740756-2293



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT application of)
Tetsuo ARAO et al.)
Serial No. 09/826,416) Attn. Applications
Filed: April 5, 2001) Branch
For: SEMICONDUCTOR DEVICE AND)
MANUFACTURING METHOD THEREOF)

VERIFICATION OF TRANSLATION

Honorable commissioner of patents and Trademarks
Washington, D.C. 20231

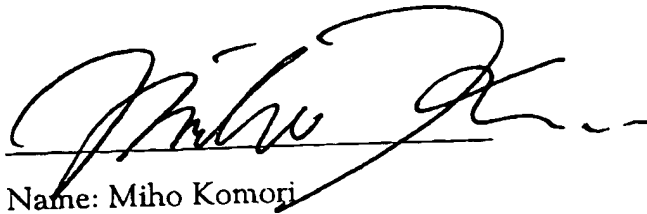
Sir:

I, Miho Komori, Flat SEL-II 2-C, 1551 Hase, Atsugi-shi, Kanagawa-ken 243-0036
Japan declare: that I am well acquainted with both the Japanese and English Languages;
and

that to the best of my knowledge and belief the following is a true and correct
translation of U.S. Patent Application Serial No. 09/826,416 filed on April 5, 2001.

I further declare that all statements made herein of my own knowledge are true and
that all statements made on information and belief are believed to be true; and further
that these statements were made with the knowledge that willful false statements and the
like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title
18 of the United States Code, and that such willful false statements may jeopardize the
validity of the application or any patent issuing thereon.

Date: this 18th day of July, 2001



A stylized, cursive handwritten signature in black ink, appearing to read 'Miho Komori', written over a horizontal line.

Name: Miho Komori